

## Campaign Finance

**NEW** Campaign Finance Electronic Filing System has been released! A [new system](#) has been designed to ease your filing process with online filing wizards and help text.

**Using the Data Import Template for Campaign Finance Report?** With the new and improved Campaign Finance System, you will want to *use the revised templates* when uploading your data. Please review the [File Import Specification](#), [File Import Template \(Microsoft Excel\)](#), and [Import Function Tutorial](#).



### Important Deadlines and Reminders

[2011 Campaign Finance Calendar](#)

[2011 KC Municipal Primary & General Elections](#)

[2011 April 5th Municipal General Election](#)

Although the **2011 January Qtly** is not required (Section 130.046.3, RSMo) we encourage you to try out the [new filing system](#) by filing a 2011 January Qtly Report. This allows you to become familiar with the new system and keep your committee records current through the December 31, 2010 closing date of the report.

**Electronic Filing of Reports is Required** effective January 1, 2011 per [Senate Bill 844](#). If your committee is still not signed up to electronically file you *must* complete and submit a [Pin App & Waiver](#).

**Do I need to form a candidate committee?** Refer to page 13 of the [2011 Guide to Ethics Laws](#).

**Committee Registration Deadline:** Remember that all committees must be formed 30 days prior to the election in which they wish to participate *with the exception* of a political action committee. A political action committee must be formed 60 days prior. View the [2011 Campaign Finance Filing Calendar](#) to make sure that your committee is timely formed.

## Campaign Finance (Continued)

**NEW LAW:** **Contributions Received > \$500 During Legislative Session (SB844)** Any contribution (including loans, see § 130.011.(12) RSMo. for full definition of contribution) received, over \$500, must be electronically reported within 48 hours of its receipt (must also report this contribution in the committee's next filed report) for:

- Current office holder or candidates (including their committee) for the offices of State Representative or State Senate during the regular legislative session.
- Current office holders or candidates (including their committee) for the offices of Governor, Lt. Governor, Treasurer, Attorney General, Secretary of State, or Auditor during the regular legislative session, AND at any time when legislation from the regular legislative session awaits gubernatorial action.

## Personal Financial Disclosure

### PFD Filing Time Is Here For PFD Statements!

**Coming Soon!!** Filers required to file a PFD will be able to file their reports online. Watch our [website](#) for further details. Filing notices will be sent to you in mid-January. Statements are due to the MEC by May 2, 2011.

If your name has been submitted as a required filer and you are not filing electronically, you can [access the form on our website](#), download, complete, sign, and return to our office.

### Who files an annual PFD statement?

- ✓ [Public officials and some candidates](#) for various positions in political subdivisions.
- ✓ [Individuals](#) that have been appointed or are newly employed.

### What is the time period covered by the statement?

January 1, 2010 through December 31, 2010. If no longer serving, enter the time period you served in 2010. If you are a candidate, the time period begins one year prior to the last day of candidate filing for that office. (Ex. 1/18/2010 through 1/18/2011)

## PFD (Continued)

**Who is covered by this PFD Statement?** Information provided should be for the filer, their spouse and any dependent children.

**Can I fax my completed statement?** MEC does not accept faxed forms. An original signature is required.

**View Your Political Subdivision Filers Online.** Political Subdivisions can verify if their designated filers have filed their PFDs. Log into the [Political Subdivision Filing System](#) by using your login information which was previously provided to you.



## Advisory Opinions

Upon written request, the Commission issues [advisory opinions](#) about campaign finance disclosure, conflict of interest, lobbying and personal financial disclosure.

You may view all opinions issued, search by a topic, or search by a topic & keyword.

## Did You Know?

**A candidate cannot take office** until all required campaign finance reports have been filed and all fines and late fees have been paid by the candidate. (Section 130.071.1, RSMo.)

**No person may file for any office** until the existing candidate committee (or any committee where the candidate was a treasurer or deputy treasurer) has filed all required campaign disclosure reports for all prior elections and paid all fees assessed by the Commission. (Section 130.071.2, RSMo.)

## Lobbying

**Have You Renewed Your Lobbyist Registration for the 2011 Year?** Each lobbyist *must* renew their status to remain an active lobbyist for the 2011 year by January 5th. Renew electronically via credit card by logging in to the [Lobbyist Electronic Reporting System](#) and clicking on the “Renew Registration” button.

Any lobbyist who has not renewed by January 5, 2011 will have their status as a lobbyist terminated effective December 31, 2010.

If you do not plan on renewing your registration, please note that you are still required to file a December Lobbyist Monthly Expenditure Report by January 10, 2011.

**Lobbyists / Principal Bi-Annual Reports Due March 15th and May 30th** Each lobbyist or lobbyist’s principal must file a [List of Principals and Legislative Action](#) form (MO 300-1433) with the Commission by two dates: **March 15th and May 30th**.

The form should include a general description of proposed legislative action; action by the executive branch or judicial branch of government; or by any official agency, board or commission of state government, which the lobbyist or lobbyist’s principal supported or opposed. For each due date, only one report is due per principal.

## Training

**Legislative Tutorial—*Coming Soon!!*** Our office is working on releasing a Legislative Tutorial giving an overview of Campaign Finance, Lobbying, Personal Financial Disclosure, Conflicts of Interest and more. [Please check back](#) to view this important informative guide.

**Online Tutorials/Guides**—Whether you are new to the MEC laws or would like to learn more, check out all the valuable [web tutorials](#), calendars, publications and guides on our [website](#).

**Missouri Ethics  
Commission**

**Julie Allen,  
Executive Director**

# MEC News

VOLUME 10

APRIL 2011

**IN THIS  
ISSUE:**

- **PFD Annual Filers Information**
- **Campaign Finance**
- **Spotlight on Searches**
- **Lobbyist**
- **Advisory Opinions**

**MISSION**

*MEC serves the public interest by assisting and educating the citizens of Missouri, public officials, lobbyists and individuals participating in public elections, while consistently and uniformly enforcing campaign finance, conflict of interest and lobbying laws.*

## Personal Financial Disclosure (PFD)

### Annual Filers:

**May 2nd Deadline** for filing fast approaching! PFDs can be electronically filed, mailed or hand delivered. Reports not electronically filed must contain an original signature. (Fax copies are not accepted).

- E-file by May 2nd, 5:00 p.m.
- If hand deliver must be received by our office by May 2nd, 5:00 p.m.
- If mailing, must be post-marked no later than May 1st
- Time period covered is from Jan 1st, 2010 through Dec 31st, 2010

### How can I file my PFD?

- **Submit Electronically**
  1. [Log-in](#) using the filer id & password provided
  2. Complete each section
  3. Submit filing
- **File by Paper**
  1. Complete fillable form on our website, print & sign; or
  2. Print blank form, complete & sign
  3. Mail or hand-deliver form to MEC by due date

### Political Subdivisions:

Verify that your designated filers have submitted their forms:

1. Go to our website
2. Log into the [Political Subdivision Filing System](#) (use your political subdivision's log-in information)
3. Check the filing status of your required filers



If you have forgotten your filer id or password required to file your PFD electronically, go to the *Personal Financial (PFD) Filing system*, select the 'Can't access your account?' link, type in your email address and select 'Continue'. Follow the directions provided.

## Campaign Finance Disclosure

### Upcoming Reports:

- **April Quarterly**—Due April 15th (time period thru Mar 31st). Candidates in the Mar 8th Election are not required to file an April Quarterly.
- **30 Days After Apr 5 Election**—Due May 5th (time period thru Apr 30th). If successful, must be filed before taking office.

### Unsuccessful?

Candidates & Campaign Committees must terminate within 30 days after the election or upon satisfying any outstanding debt. If candidate committee has more debt than money on hand, may convert to Debt Service Committee. (money can only be used to repay committee's debt).

### New Publication:

Do you meet the requirements for forming a campaign finance committee? Find out by answering the questions in our [When to Form & Register a Committee](#) brochure.

### E-filing System Tips:

For help while filing, view:  
Help & Hints Window  
Overview & Navigational Tutorial  
Section Wizard Tutorial



## Spotlight on Searches

The Commission continuously strives to develop new and relevant searches for users. Some of our most commonly used searches include:

**NEW: Campaign Committee Search** - designed to show for a specific election, campaign committees supporting or opposing ballot measures. The Commission's plans include releasing a second search regarding PACs that report spending money related to a ballot issue.

**COMING SOON—Retrooled Lobbyist Expenditure—Public Official(s) Search** - designed to show expenses lobbyists report spending on public officials and identifies Principal(s) paying for a public official's expenditures.

**48 Hour Report of Contribution Over \$5,000** - designed to show contributions received over \$5,000 by any individual or committee.

### Training:

To further educate others, MEC offers in-person seminars, online webinars, web tutorials and a variety of publications, including filing calendars.

We are currently developing new training materials and will update our schedule when new dates are finalized.

Check our training page frequently or email your inquiries or requests to [training@mec.mo.gov](mailto:training@mec.mo.gov).

### CONTACT US

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800-392-8660  
573-751-2020

Website:  
[www.mec.mo.gov](http://www.mec.mo.gov)

## Lobbyist

### Upcoming Report:

- **Lobbyist Monthly Expenditure Report**
- **List of Principals and Legislative Action** - Due May 30th. Include general description of legislation proposed, any actions taken by executive branch & if supported or opposed the action.

### Did you know?

1. When inviting entire general assembly to an event, report as "group expenditure".
2. If paying expenditure by credit card, record when the expenditure is made, not when the credit card statement arrives.
3. It is the lobbyist's responsibility to file any changes in principals or employment. Must file electronically within one week of the change.
4. A lobbyist's expenses reported on Public Officials can be viewed on our website.

## Advisory Opinions



Upon written request, the Commission issues advisory opinions about campaign finance disclosure, conflict of interest, lobbying and personal financial disclosure laws.

### Recent Opinions:

**2011.02.L.011**—The lobbyist for a law firm which serves as a lobbyist principal is required to report expenditures paid by the law firm on behalf of public officials regardless of whether the lobbyist attended the

event for which the expenses were incurred by the firm.

**2011.03.CF.002**— Missouri PAC may use evidence from the Sec. of State to ensure a foreign corporation holds a valid certificate of authority.



**Missouri Ethics  
Commission**

**Julie Allen,  
Executive Director**

# MEC News

VOLUME 11

JULY 2011

**IN THIS  
ISSUE:**

- **PFD Political Subdivision Reminders**
- **Campaign Finance**
- **Spotlight on Searches**
- **Election Authorities**
- **Conflict of Interest**

**MISSION**

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## Personal Financial Disclosure (PFD)

### Political Subdivisions Reminders

#### Annual Operating Budget (AOB)

In order to identify those persons required to file a PFD, every political subdivision must indicate whether their AOB is:

- Over \$1 million; or
- \$1 million or under

If your AOB is \$1 million dollars or under, there are no requirements for employees or elected officials to file a PFD.

If your AOB is over \$1 million, you may choose to adopt an ordinance, order or resolution identifying who must file a PFD, or follow the law for required filers (§105.483 RSMo.). A list of required filers is submitted in the fall of each year.

#### How to file AOB:

- *Submit Electronically*
  1. Go to our website
  2. Log into the [Political Subdivision Filing System](#) (use your political subdivision's log-in information)
  3. Update subdivision contact information (if necessary)
  4. Confirm AOB (you will receive an email confirmation)
- *File by Paper*
  1. Complete fillable form on our website & print; or
  2. Print blank form & complete
  3. Mail or hand-deliver form to MEC

#### Conflict of Interest Ordinance/Resolution

If your ordinance expires this year and you wish to keep it in effect, you must, by **Sept. 15th**, re-adopt it at an open meeting. Within 10 days of adoption, you must mail a certified copy to our office.

See [§105.485 RSMo.](#), for minimum ordinance requirements. You may also wish to consider the following:

- Penalties for failure to follow ordinance
- Filing requirements for candidates

If you do not re-adopt the ordinance, all elected, appointed, and decision making personnel, as well as candidates, will be required to file a PFD.

See sample [Ordinance](#) on our website. Email PFD questions to [PFDOonline@mec.mo.gov](mailto:PFDOonline@mec.mo.gov).

## Campaign Finance Disclosure

### July Quarterly Report:

- Due July 15th
- Time period thru June 30th

### New Resources:

Whether you are new to campaign finance or an experienced candidate, treasurer, or committee member, use these new

resources to help understand and follow key requirements of the campaign finance laws.

[Campaign Finance Frequently Asked Questions \(FAQs\)](#): Provides answers to commonly asked questions for campaign finance committees; topics range from committee information and reporting requirements to online searches.

[Guide to Political Action Committees \(PACs\)](#): Specifically geared for political action committees (PACs), provides campaign finance basics and answers common questions.



# Spotlight on Searches



The Commission continuously improves & develops new and relevant searches for users. One of our newest searches is:

## **NEW: Ballot Measures—PAC Expenditures**

- shows money spent on ballot measures by PACs and if the money was spent to support or oppose the measure. PACs are formed to support or oppose ballot measures and/or candidates over multiple elections.

From our website, select “Campaign Finance”, under Campaign Finance Searches... Ballot Measure/Campaign Specific...select “Ballot Measures-PAC Expenditures”

### **Step by Step process:**

*Step 1 - Select*

- Election Year

*Step 2 - Limit by*

- Election Date

Can also limit search results by support or oppose options.

## **Training:**

To further educate others, MEC offers in-person seminars, online webinars, web tutorials and a variety of publications, including filing calendars.

We are currently developing new training materials and will update our schedule when new dates are finalized.

Check our training page frequently & email your inquiries or requests to [training@mec.mo.gov](mailto:training@mec.mo.gov).

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# Election Authorities

## **General Overview**

### ***June/July***

- ⇒ Confirm Annual Operating Budget for your political subdivision

### ***August/September/October***

- ⇒ Adopt Ordinance/Resolution by Sept. 15th
- ⇒ Review Election Packets

- ⇒ Submit Required Filer list to MEC and notify filers

### ***January***

- ⇒ File Candidate List for municipal election with MEC (Candidate's PFD due two weeks after close of filing)

### ***March/April/May***

- ⇒ Track your required filers
- ⇒ File Candidate List for pri-

mary/general elections with MEC (Candidate's PFD due two weeks after close of filing)

- ⇒ Track your required filers
- ⇒ Annual filer's PFD due May 1st.

### **Election Packets:**

- ✓ Notice to Candidate
- ✓ Guide to Ethics Law-Plain English Summary

# Conflict of Interest

## **Ch. 105 RSMo., General Provisions**

- Prohibits financial gain for self, spouse, dependent child(ren)
- Addresses elected & appointed public officials receiving additional

compensation through:

- Employment
- Services
- Conducting Business



*If you find yourself in a position that may result in a conflict of interest issue:*

- Recuse yourself from voting on anything that may directly affect or give special monetary benefit to you or a family member
- Consult governing policies & procedures

**Missouri Ethics  
Commission**

**Julie Allen,  
Executive Director**

# MEC News

VOLUME 12

OCTOBER 2011

## IN THIS ISSUE:

- Watch our website...
- Campaign Finance
- 2012 Election News
- Political Subdivisions
- Spotlight on Searches
- Training
- Lobbyist
- SB844 Update
- Advisory Opinions

## MISSION

We serve the public interest. We assist and educate the citizens of Missouri, public officials, lobbyists, and those participating in public elections. We create transparency and accountability and consistently enforce campaign finance, conflict of interest, and lobbying laws.

## Watch our website for...

### ♦ 2012 Candidate Central

- ⇒ Information for candidates about filing their Personal Financial Disclosure (PFD), campaign finance committee requirements, training & more

### ♦ E-file Candidate List

- ⇒ Political subdivisions with AOB >\$1 million will be able to electronically submit list of candidates required to file PFD



## Campaign Finance Disclosure

### **NEW**—Committee Registration Packet, includes:

- *Cover sheet*—directs the user to where they are to file.
- *Statement of Committee Organization*—streamlined to assist users in providing the information required to register their committee. Also includes an e-filing certification for filers required to file only with MEC.
- *Electronic Filing Agreement*—used by filers required to file with MEC & their local election authority (dual filers). Can also be used for filers only required to file with their local election authority that wish to file electronically using MEC's e-filing system.

### **Campaign Finance Reporting:**

- **October Quarterly**—Due Oct 15th (time period thru Sept 30)
- Review [Upcoming Deadlines & Reminders](#) for other election specific reports due
- Review [Special Election Deadlines & Reminders](#) if you are involved in Nov 8 special election

## 2012 Election News

### **ATTN: Election Authorities**

1. Packets for 2012 Elections coming in Oct.
  - Review the packet—includes instruction letter, 2012 Guide to Ethics Law, PFD forms (AOB >\$1 mil) & Notice to Candidate
  - Review your Candidate Declaration form—may include wording that candidate has no outstanding reports due or fees assessed by the MEC.
  - Remember [§130.071.2 RSMo.](#), has restrictions for candidates filing for office.
2. PFD e-filing for 2012 Candidates—Candidates will be able to file their PFD information online.

## Political Subdivisions

- Beginning **November 1, 2011**, if AOB over \$1 million, political subdivisions will be able to [electronically](#) submit list of required annual filers to MEC.
- Both last year's annual filers and last year's candidates will be displayed. Carefully review each section, update each filer, and remove those no longer required to file.
- Each subdivision must notify those people whose names have been submitted.

# Spotlight on Searches



The Commission continuously improves and develops new and relevant searches for users. Some of our most commonly used searches include:

## Registered Candidates and Candidate Committees Search

- shows the candidates that have registered candidate committees for specific elections.

Search results also provide link to individual committee information.

From our website, select "Campaign Finance", under Campaign Finance Searches... By Candidate...select "Candidates"

### Step by Step process:

#### Step 1 - Select

- Election Year
- Election Date

#### Step 2 - Limit by

- Political Office

#### Step 3 - Specify by

- Political Subdivision
- Political District

Can also limit search results to active committees only.

## Training:

### Coming Soon... New Webinars

- ◆ Session A: Campaign Finance Record-Keeping Webinar
- ◆ Session B: Campaign Finance Reporting Webinar
- ◆ Session C: PFD for Candidates Webinar

Check our training page for registration details at [www.mec.mo.gov/training](http://www.mec.mo.gov/training)

Send other training inquiries or requests to [training@mec.mo.gov](mailto:training@mec.mo.gov)

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Follow us on Twitter:  
[@MOethics](https://twitter.com/MOethics)

# Lobbyist

## Reminders:

- ◆ **Group Expenditures:** SB844 requires that lobbyists include the location when entering a group expenditure (effective 08/28/2010)
- ◆ **Renewal Period:** The lobbyist renewal period begins December 1st

and runs through January 5th. All lobbyist must renew their registration and pay a \$10 registration fee. Lobbyists who fail to renew will be terminated effective December 31st, 2011.

## 2010 SB844 Update: (Ethics Law)

- ◆ SB844 is still undergoing litigation.
- ◆ The SB844 provisions of law remain in effect until a final resolution of this case on appeal, except for §130.031 (13) RSMo.
- ◆ Click [SB844 Information](#) for the most recent information.

# Advisory Opinions



Upon written request, the Commission issues advisory opinions about campaign finance disclosure, conflict of interest, lobbying and personal financial disclosure laws.

## Recent Opinions:

### 2011.04.L.003 -

Persons engaged in media relations or consulting must register as a lobbyist or principal if their activities are for the sole purpose to influence the general assembly.

### 2011.06.CF.004 -

1. Once terminated, a candidate committee cannot be reopened in order to convert to debt service committee.
2. Contributions may be used to pay legal fees incurred regarding challenging a disqualification of candidacy for failure to file a PFD.